

A.D. 3.3, Procurements - Prepared for signature 7/16/99 - effective 8/16/99

1. Policy. The Department shall establish and maintain through the Fiscal Services Unit, an efficient standardized procurement process which encourages participation of qualified competitive bidders, including small and minority owned businesses, and adheres to established State procurement rules and regulations.
2. Authority and Reference.
 - A. Connecticut General Statutes, Sections 4-8, 4-33a, 4a-7, 4a-50 through 4a-75, 4b-51, 4b-52, 4-98, 18-81 and 32-9e.
 - B. Department of Administrative Services (DAS), Bureau of Purchases, Purchasing Manual.
 - C. Regulations of Connecticut State Agencies, Sections 46a-68j-1 through 46a-68j-18.
 - D. Public Act 85-567.
 - E. State of Connecticut, Office of the Comptroller, State Accounting Manual.
 - F. Connecticut Department of Economic Development Connecticut Small Business Set-Aside Directory, Current Edition.
 - G. American Correctional Association, Standards for Adult Correctional Institutions, Third Edition, January, 1990, Standards 3-4012, 3-4038 and 3-4039.
 - H. American Correctional Association, Standards for Adult Local Detention Facilities Third Edition, March 1991, Standards 3-ALDF-1A-12, 3-ALDF-1B-11 and 3-ALDF-1B-14.
 - I. American Correctional Association, Standards for Administration of Correctional Agencies, Second Edition, April 1993, Standard 2-CO-1B-09.
 - J. Connecticut State Library, Records Retention/Disposition Schedules.
 - K. Administrative Directive 3.4, Inventory Control.
3. Definitions. For the purposes stated herein, the following definitions apply:
 - A. Bidder. A person, firm or corporation submitting a competitive bid in response to a solicitation.
 - B. Competitive Bidding. The submission of prices by persons, firms or corporations competing for a contract to provide supplies materials, equipment or contractual services, under a procedure in which the contracting authority does not negotiate prices.
 - C. Competitive Negotiations. A procedure for contracting supplies, materials, equipment or contractual services, in which proposals are solicited from qualified suppliers by a request for proposals. Changes may be negotiated in proposals and prices after being submitted.
 - D. Contractual Services. Any laundry and cleaning, rubbish removal, pest control, fire or fence alarm services, janitorial or security services, the rental and repair or maintenance of equipment, machinery and other state-owned personal and real property, advertising, and other service arrangements where the services are provided by persons other than State employees.
 - E. Direct Purchase Authority. Authorization from a governing agency to the Department, to make acquisitions within specified limits.

- F. Equipment. Any personal property including, but not limited to, machinery, vehicles, furnishings, computers and other electrical and electronic devices with a normal useful life of one (1) year or more and a value of \$1,000 or more.
- G. Minority-Owned Business. A business certified by the Department of Administrative Services as meeting the qualifications for Set-Aside program participation as a minority-owned business under C.G.S. Section 32-9e.
- H. Public Act 85-567 Projects (PA Projects). Alterations, repairs, additions or changes to state premises involving expense to the Department of \$250 or less, requiring the prior approval of the Commissioner of Public Works.
- I. Purchasing Cards (P-Cards). Credit cards issued to specific staff, to enable direct placement of orders within authorized limits.
- J. Small Business. A business certified by the Department of as meeting the qualifications for Set-Aside program participation as a Small Business under C.G.S. Section 32-9e.
- K. Sole Source. Exclusive provider of a specific product or service.
- L. Standardization Transaction. One (1) time special purchases for emergency situations or in instances of unusual trade or market conditions.
- M. Unauthorized Purchases. Any order to a vendor for good or services not properly authorized by an official state purchase order or purchase authority.

4. Purchases.

- A. Standard Purchasing Process. Purchasing documents shall be processed in accordance with Office of the State Comptroller regulations. Except as noted in Section 4(C) (1-4) below, only authorized Fiscal Services staff may commit the Department to purchasing transactions.
- B. Requisition Procedures. A Department Purchase Requisition Form, Attachment A, or its online equivalent shall be initiated for the purchase of supplies, equipment, and services not readily available from a Department of Correction warehouse. Properly authorized purchase requisitions shall be processed through the Fiscal Purchasing Section regardless of fund type. All purchase requisitions shall be coded for expenditure purposes in accordance with the department's fiscal coding structure.
- C. Exceptions. The following shall be exceptions to the standard purchase and requisition processes:
 - 1. Purchase of Professional Services. Including veterinarians, attorneys, engineers, architects, or consultants, shall be managed by the Fiscal Services Grants and Contracts Section.
 - 2. Purchasing Card (P-Card). Acquisitions shall be initiated by the cardholder.
 - 3. Personnel Services. Temporary office help shall be arranged by the Human Resources Unit, through the Department of Administrative Services, Bureau of Personnel Services.
 - 4. Telecommunications. Changes or repairs shall be arranged through the Management Information Systems Unit (MIS).
 - 5. Acquisition of Medical Services or Supplies. These services or supplies shall be the responsibility of the UConn Health Center.

5. Purchase Authority. The Fiscal Services Unit shall request authorization to acquire goods and services from: (1) the Department of Administrative Services (DAS), for general goods and services; (2) the Department of Information Technology (DOIT) for data processing and telecommunications; and (3) the Office of Policy and Management (OPM) for personal and human services; except as permitted under Direct Purchase Authorities granted to the Department.
6. Purchasing Cards. Authorized users of P-Cards shall complete documentation specific to the purchasing card program requirements and meet all requirements for P-Card use as established by the Department, the Office of the Comptroller, and the Department of Administrative Services. Requisitions may be required at the discretion of the Supervisor responsible for approving each P-Card transaction. P-Cards shall not be used to circumvent standard procurement authorities and purchase limits.
7. Competitive Bids. When authorized to acquire goods and services under a direct purchase authority, the Fiscal Services Unit shall obtain competitive bids from responsible sources if the total cost exceeds \$1,000 and the purchase is not covered by an established state contract. Except for bona fide sole source procurements, at least three (3) responsible sources shall be solicited. Certified minority/set-aside vendors shall be proactively solicited. Competitive bids may be required at the discretion of the Director of Fiscal Services, for purchases when the total is \$1,000 or less.
8. Acceptable Brands. The Fiscal Purchasing Section shall cite at least two (2) acceptable manufacturers, DAS Acceptable Brands list (ABL), of a product, or utilize generic specifications when soliciting bids. The DOC ABL will be used when soliciting EDP equipment, software and peripherals.
9. Consolidated Purchases. Consolidated purchases and pre-itemized requisitions (planned periodic purchases) shall be utilized as practicable to achieve "best price" and product standardization.
10. Public Act 85-567 Projects. These projects are initiated through the Engineering Services Unit. Upon receipt of properly authorized requisition forms the Fiscal Purchasing Section will procure materials and services as necessary.
11. Equipment. All equipment requests must have the prior approval of the Director of Fiscal Services. All equipment shall be controlled in accordance with guidelines established by the Office of the State Comptroller and Administrative Directive 3.4, Inventory Control.
12. Receiving Reports. All goods and services procured by the Department shall be inspected and verified at the time of receipt. A receiving report shall be prepared, signed, dated and promptly forwarded to the Accounts Payable Section.
13. Records Retention/Disposal. Records shall be retained and disposed of in accordance with the State Records Administrator's Retention/Disposal Regulations.

14. Department of Correction Purchasing Manual. The Director of Fiscal Services shall develop, promulgate and periodically revise a Department purchasing manual which shall detail the procedures utilized throughout the agency to purchase all goods and services. The originator of

purchasing documents shall consult and follow the manual prior to initiating purchases.

15. Unauthorized Purchases. Any purchases or contracts for any supplies, materials, equipment or services contrary to statutory provisions and this Administrative Directive shall be void. The Department shall notify the Auditors of Public Accounts and the Office of the Comptroller of unauthorized purchases and the responsible party may be held personally liable for the costs of such order or contract.
16. Contract Compliance Procedures. The Fiscal Purchasing Section shall be responsible for assuring that Contract Compliance requirements are met in the bidding for and awarding of contracts. The Purchasing Section shall:
 - A. Issue requests for Equal Employment data to prospective bidders in accordance with guidelines issued by the Commission on Human Rights and Opportunities (CHRO).
 - B. Review the Connecticut Law Journal or consult with the Commission on Human Rights and Opportunities prior to awarding a contract, to ascertain that any potential contractor has not been issued a notice of non-compliance.
 - C. Complete a Contract Award Notice and forward it to the Affirmative Action Unit for submission to the Commission on Human Rights and Opportunities.
17. Small and Minority Business Set-Aside Goal. Fiscal Services shall set-aside for award to small businesses twenty-five percent (25%) of the average total value of all contracts, with exemptions as authorized by the Department of Economic and Community Development.
 - A. Minority-Owned and Women-Owned Business. Twenty-five percent (25%) of the "small business set-aside goal" shall be reserved for minority-owned and women-owned businesses that have been certified by the Department of Administrative Services and are capable of providing the service sought. Such businesses, if identified, shall be encouraged to participate in the bidding process. The Set-Aside Directory shall be used as reference to identify such businesses.
 - B. Subcontracts. In lieu of contracting directly with small business and minority business enterprises, the Department of Correction may satisfy its set-aside obligations in whole or in part by requiring general contractors to hire subcontractors who are certified as small businesses.
 - C. Award. Set-aside contracts/purchase orders shall be awarded by the Fiscal Purchasing Section to the certified small business offering the lowest bid.
 - D. Payment. Payment to small business under the set-aside program shall be made as stipulated by the Fiscal Purchasing Section for its standard contracts, but in no case shall payment be made later than 30 days after acceptable performance of the contract.
 - E. Reports. The Director of Fiscal Services shall provide quarterly reports to the Deputy Commissioner of Administration for submission to the Commissioner of the Department of Economic and Community Development and the Executive Director of the Commission on Human Rights and Opportunities. The Fiscal Services Unit shall record and provide to the Affirmative Action Unit, all data necessary for reporting on utilization of minority/women business enterprises by the Department.

18. Exceptions. Any exception to the procedures in this Administrative Directive shall require prior written approval from the Commissioner.